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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/759,073

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Michael Conradt

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STAAS & HALSEY LLP  
SUITE 700  
1201 NEW YORK AVENUE, N.W.  
WASHINGTON, DC 20005

EXAMINER

RUTKOWSKI, JEFFREY M

ART UNIT

PAPER NUMBER

2609

MAIL DATE

DELIVERY MODE

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/759,073

Applicant(s)

CONRADT ET AL.

Examiner

Jeffrey M. Rutkowski

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 20 January 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-11 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-11 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 20 January 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 04/19/2004.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_.

## DETAILED ACTION

### *Priority*

1. Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file.

### *Claim Rejections - 35 USC § 101*

2. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

**Claim 11** is rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter. The specification does not define a computer readable medium. Given the broadest interpretation of the claim, the computer readable medium could include signals.

### *Claim Rejections - 35 USC § 102*

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. **Claims 1-4, 10** are rejected under 35 U.S.C. 102(e) as being anticipated by Aoyagi et al. (US Pg Pub 2002/0032761), hereinafter known as Aoyagi.
5. For **claim 1**, Aoyagi teaches an administrator terminal **71** (central management component) [0139] determines whether or not a device has implemented a Simple Network

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Management Protocol (SNMP) agent [0142] (determining, from a central management component, whether a network component is a management-capable network component).

Aoyagi anticipates using previous knowledge about a device by teaching Management Information Base (MIB) objects are stored in tables. The devices are classified into one of router, bridge, switching hub, intelligent hub, terminal or printer [0155 and figures 8-11] (if the network component is a management-capable network component, using services provided in the past by the management-capable network component to classify the management-capable network component).

6. For **claim 2**, Aoyagi teaches everything in **claim 1**. Aoyagi teaches an automatic recognition service program functions as an SNMP manager. The program recognizes those devices running an SNMP agent [0142] (a management agent unit is provided in each network component that is a management-capable network component, and the management agent unit enables communication between the central management component and the management-capable network component).

7. For **claim 3**, Aoyagi teaches everything in **claim 2**. The teachings from **claim 2** disclose the use of SNMP protocol (wherein communication between the central management component and the management agent unit takes place according to an SNMP protocol).

8. For **claim 4**, Aoyagi teaches everything in **claim 1**. The teachings from **claim 1** disclose devices are classified as a terminal (host), router or a switch (wherein the network component is classified as a host, a router or a switch).

9. For **claim 10**, Aoyagi teaches an automatic recognition service program is used to determine whether or not a host is SNMP enabled [0142] (an inquiry unit to determine, whether

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a network component is a management-capable network component). Aoyagi also teaches an MIB access module is used to classify devices based on the type MIB supported [0154] (a classification unit to use services provided in the past by the management-capable network component to classify the management-capable network component, if the network component is a management-capable network component).

10. For **claim 11**, the teachings of Aoyagi are implemented in a software application [see **claim 10**]. In addition, the teachings from **claim 1** address the limitations of the present claim (determining, from a central management component, whether a network component is a management-capable network component; and if the network component is a management-capable network component, using services provided in the past by the management-capable network component to classify the management-capable network component).

### ***Claim Rejections - 35 USC § 103***

11. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

12. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.

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4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

13. **Claims 5, 7, 8** are rejected under 35 U.S.C. 103(a) as being unpatentable over Aoyagi as applied to **claim 4** above, and further in view of Case et al. (Management Information Base for Version 2 of the Simple Network Management Protocol (SNMPv2)), hereinafter known as RFC 1907, and McCloghrie et al. (Management Information Base for Network Management of TCP/IP-based internets: MIB-II), hereinafter known as RFC 1213.

14. For **claim 5**, Aoyagi teaches a bridge MIB contains an object that stores the MAC addresses of devices connected to individual packet relay equipment. The information is used to determine port-by-port connections of each piece of packet relay equipment can be detected [0157]. Aoyagi does not teach determining whether or not packets have already been forwarded. RFC 1213 teaches the determining forward packet limitation absent from the teachings of Aoyagi by disclosing an ipForwDatagrams MIB object is used to determine the number of datagrams for which a network device was not the destination. Since the device was not the destination an attempt was made to a route to forward the datagrams [page 27] (determining whether data packets have already been forwarded between interfaces of the network component). Aoyagi does not teach determining whether a network component supports layer 3 of the OSI reference model. RFC 1907 teaches the network component determination limitation absent from the teachings of Aoyagi by disclosing a sysServices MIB object is used to determine the set of services a network device potentially offers. The MIB type uses an integer value to indicate on which layer of the Open Systems Interconnect (OSI) model services are being offered [page 5] (determining whether the network component supports layer 3 of the OSI reference model). Given RFC 1213 teaches the detection of an intermediate node and RFC 1907 teaches

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detection of a packet forwarding device it would have been obvious to a person of ordinary skill in the art at the time of the invention to classify the device as a router if the device forwards packets and supports layer 3 (if the network component supports layer 3 and data packets have already been forwarded, classifying the network component as a router).

15. It would have been obvious to a person of ordinary skill in the art at the time of the invention to use a ipForwDatagrams MIB object in Aoyagi's invention to give a strong indication the device may be categorized as a router. It also would have been obvious to a person of ordinary skill in the art at the time of the invention to use a sysServices MIB object in Aoyagi's invention to enable devices connected to a network to be classified by service type.

16. For **claim 7**, the combination of Aoyagi, RFC 1907 and RFC 1213 teach everything in **claim 5**. Aoyagi teaches each device in a network has an SNMP agent and a management information base. The device information is obtained by sending an Internet Control Message Protocol (ICMP) request from an administrator terminal to devices on the network [0015]. The teachings of RFC 1907 and RFC 1213 teach the sysServices and the ipForwDatagrams managed objects [see **claim 5**] (the network component has a management information base with managed objects, and whether the network component supports layer 3 and whether data packets have already been forwarded are determined by an interrogation of the managed objects).

17. For **claim 8**, the combination of Aoyagi, RFC 1907 and RFC 1213 teach everything in **claim 7**. Aoyagi teaches each device in the network has an SNMP agent [see **claim 7**] (wherein the management information base is administered by a management agent unit provided in the network component).

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18. **Claim 6** is rejected under 35 U.S.C. 103(a) as being unpatentable over Aoyagi as modified by RFC 1907 and RFC 1213 as applied to **claim 5** above, and further in view of Fujino et al. (US Pat. 5,651,006), hereinafter known as Fujino.

19. The combination of Aoyagi, RFC 1907 and RFC 1213 teach everything in **claim 5**. Aoyagi teaches the use of an ifNumber MIB object [**Aoyagi, figure 5**] and an ifNumber object [**RFC 1213, page 16**]. The ifNumber object is an integer value that represents the number of network interfaces, regardless of their current state, present on a system. The combination also teaches an ifType object is used to determine the interface type based on physical and link layer protocols [**RFC 1213, page 18**]. The combination does not teach how a switch or a host is determined. Fujino teaches the host determination limitation absent from the teachings of the combination by disclosing a router interrogates a “host” to determine if the device is a gateway, ipForwarding object set to “1”. After determining whether or not the host is a gateway the number of ports are counted using the ifNumber object **698**. If there is only one active port **699**, a “normal” status is given to the host. However, if there is more than one active port and the interface is not a loopback interface **699** then a status is set to marginal [**figure 20**] (if the network component does not support layer 3 and/or the network component has not already forwarded data packets, then ports of the network component are counted, if the number of ports is greater than 1, the network component is classified as a switch, and if the number of ports is not greater than 1, then the network component is classified as a host).

20. It would have been obvious to a person of ordinary skill in the art at the time of the invention to use a “normal” status to identify a host in Aoyagi’s invention since a device with one active interface and does not support Internet Protocol (IP) forwarding is a host. It also



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would have been obvious to a person of ordinary skill in the art at the time of the invention to use a “marginal” status to identify a switch in Aoyagi’s invention since a device not supporting IP forwarding and with multiple active interfaces is more likely a switch.

21. **Claim 9** is rejected under 35 U.S.C. 103(a) as being unpatentable over Aoyagi as applied to **claim 1** above, and further in view of Fujino.

22. Aoyagi teaches everything in **claim 1**. Aoyagi does not teach classifying a network device as a host if SNMP is not supported. Fujino teaches the host classification absent from the teachings of Aoyagi by disclosing if a device does not respond to an SNMP request, it is classified as a “host” [col. 13 lines 27-30] (further comprising, if the network component is not a management-capable network component, presuming that the network component is a host).

23. It would have been obvious to a person of ordinary skill in the art at the time of the invention to classify network devices not supporting SNMP as a host in Aoyagi’s invention since an administrator may have SNMP “turned off” on host devices to avoid security exploits.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jeffrey M. Rutkowski whose telephone number is (571)270-1215. The examiner can normally be reached on Monday - Friday 7:30-5:00 PM EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner’s supervisor, Charles D. Garber can be reached on (571)270-1202. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

JMR

A handwritten signature in black ink, appearing to read "J. M. R." or "John M. R.", with a stylized flourish extending to the right.